

APPLICATION CHECKLIST

(Not Counted in the 25-page Limitation)

APPENDIX D

Applicant:
Project:

Please complete both sides of the checklist and paper clip (one copy only) to the cover sheet of the original (signed) copy of the grant application.

DOES THE APPLICATION SATISFY THE FOLLOWING REQUIREMENTS:

		Yes	No
T	One, and only one, topic from the Technical Topics Section identified on the cover page.	<input type="checkbox"/>	<input type="checkbox"/>
T	One, and only one, subtopic from the Technical Topics Section identified on the cover page.	<input type="checkbox"/>	<input type="checkbox"/>
T	All endorsements on cover page completed and signed.	<input type="checkbox"/>	<input type="checkbox"/>
T	Principal Investigator will work a minimum of 5 hours per week on the project. (This corresponds to a total minimum of 130 hours for SBIR and 195 hours for STTR). *	<input type="checkbox"/>	<input type="checkbox"/>
T	All certifications and questions on cover page marked <u>YES</u> or <u>NO</u> .	<input type="checkbox"/>	<input type="checkbox"/>
T	Amount requested not in excess of \$100,000; if total of lines I & J on the budget form exceeds \$100,000, the application must explain who will contribute the difference.	<input type="checkbox"/>	<input type="checkbox"/>
T	Abstract contains no proprietary information and does not exceed space provided on the Project Summary Page (Appendix B).	<input type="checkbox"/>	<input type="checkbox"/>
T	Main text (technical content) is included as requested in Section 3.3.	<input type="checkbox"/>	<input type="checkbox"/>
T	Application, including all enclosures, not more than 25 pages. However, this checklist (Appendix D) and the Documentation of Multiple Phase II Awards (Section 3.3.7) will not be included in the 25-page count.	<input type="checkbox"/>	<input type="checkbox"/>
T	No type smaller than 12 point for proportionally spaced fonts 12 characters per inch (elite) for non-proportionally spaced fonts.	<input type="checkbox"/>	<input type="checkbox"/>
T	No pages other than 8 1/2" x 11".	<input type="checkbox"/>	<input type="checkbox"/>
T	Level of effort in compliance with Section 3.3.5a. (For SBIR, the small business must perform at least 2/3 of the research and analytical effort. For STTR, the small business must perform at least 40% and the research institution must perform at least 30%.) *	<input type="checkbox"/>	<input type="checkbox"/>

* For grant applications that are to be considered for both SBIR and STTR, prepare the grant application to meet the requirements of the SBIR program. If the application is selected for STTR, scheduling or budgetary adjustments can be completed during the negotiation period before the grant begins.

ATTENTION: **GRANT APPLICATIONS NOT MEETING ALL OF THE ABOVE REQUIREMENTS WILL BE DECLINED WITHOUT FURTHER ACTION.**

STATISTICAL INFORMATION

	Yes	No
The proposing firm certifies that it is a socially and economically disadvantaged small business concern. (See Section 2.4.)	<input type="checkbox"/>	<input type="checkbox"/>
The proposing firm certifies that it is a women-owned small business concern. (See Section 2.5.)	<input type="checkbox"/>	<input type="checkbox"/>

APPENDIX D (Continued)

WORKSHEET

For calculating the percent of the research and analytical effort performed by the small business, the research institution, if any, and other consultants or subcontractors (see Section 3.3.5.a.)

	Small Business	Research Institution (if any)	Other Consultants and/or Subcontractors	TOTAL
(1) Total Value of Project				<i>(line I + line J from budget page)</i>
(2) Value of leased, purchased, or in-kind equipment, and materials & supplies	<i>(lines C+D+FI from budget page)</i>	(Applicable portion of Research Institution's subcontract)	(Applicable portion of consultant and/or other subcontracts)	* (See note below)
(3) = (1) - (2) Research or analytical effort (before applying cost sharing)				
(4) Percentages before applying cost sharing (Divide entries on line (3) by total for line (3).)				
(5) Cost Sharing, if any (Distribute in most favorable manner.)				<i>(Line K from budget page)</i>
(6) = (3) - (5) Research or analytical effort (after applying cost sharing)				* (See note below)
(7) Percentages (Divide entries on line (6) by total for line (6).)				

* NOTES: (1) The total of the two boxes marked A* is the amount requested from DOE, Line L from the budget page. (2) This worksheet includes cost sharing, however, **cost sharing is not a requirement and has no effect on the evaluation of a Phase I grant application.**

APPENDIX D (Continued)

EXAMPLE WORKSHEET

For calculating the percent of the research and analytical effort performed by the small business, the research institution, if any, and other consultants or subcontractors (see Section 3.3.5.a.)

	Small Business	Research Institution (if any)	Other Consultants and/or Subcontractors	TOTAL
(1) Total Value of Project			(\$5,000 + \$5,000)	<i>(line I + line J from budget page)</i>
	\$81,264	\$30,000	\$10,000	\$121,264
(2) Value of leased, purchased, or in-kind equipment, and materials & supplies	<i>(lines C+D+F1 from budget page)</i>	(Applicable portion of Research Institution's subcontract)	(Applicable portion of consultant and/or other subcontracts)	* (See note below)
	\$17,000	\$7,000	\$0	\$24,000
(3) = (1) - (2) Research or analytical effort (before applying cost sharing)	\$64,264	\$23,000	\$10,000	\$97,264
(4) Percentages before applying cost sharing (Divide entries on line (3) by total for line (3).)	66%	24%	10%	100%
(5) Cost Sharing , if any (Distribute in most favorable manner.)	\$11,264	----	\$10,000	<i>(Line K from budget page)</i>
				\$21,264
(6) = (3) - (5) Research or analytical effort (after applying cost sharing)	\$53,000	\$23,000	\$0	* (See note below)
				\$76,000
(7) Percentages (Divide entries on line (6) by total for line (6).)	70%	30%	0%	100%

* NOTES: (1) The total of the two boxes marked A* is the amount requested from DOE, Line L from the budget page. (2) This example includes cost sharing, however, **cost sharing is not a requirement and has no effect on the evaluation of a Phase I grant application.**